

12-05-00

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Jc839 U.S. PTO  
12/04/00

Assistant Commissioner for Patents  
Washington, DC 20231  
ATTN: BOX UTILITY APPLICATION

UTILITY  
PATENT APPLICATION  
TRANSMITTAL  
Docket No.: 00-430  
Date: December 4, 2000

Sheet 1 of 2

U.S. Express Mail Label No.: EL661473487US

Jc806 U.S. PTO  
09/29/00  
12/04/00

## Inventor Name(s):

PATRICK J. CRILLY; YI DONG; KEITH A. HERMAN; WAYNE R. TANNER;  
YUPING YANG; AND FREDERICK W. BRUST

## Title:

METHOD FOR CONTROLLING DISTORTION OF A MATERIAL DURING A  
WELD PROCESS

- ☒ Fee Transmittal Form Attached in Duplicate
- ☒ Specification and Claim(s) [Total Pages
- ☒ Drawing(s) [Total Sheets
- 

Declaration [Total Pages 

- ☒ Newly Executed (Original or Copy)
- ☐ Copy From Prior Application (37 CFR § 1.63(d))
- ☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)
- ☒ Assignment Papers (Cover Sheet and Document(s))
- ☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449
- ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (Specifically Itemized)
- ☐ Certified Copy of Priority Document(s)
- ☐ Other

--Continue Next Page--

If a Continuing Application

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner : ; and

Group/Art Unit: .

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

719

or

☐ Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

\*\*\*\*\*

Attorney/Agent: Steve D. Lundquist

Registration No.: 42,816

Signature: 

Date: 12/4/00

Caterpillar Inc.

# FEE TRANSMITTAL

## for FY 2000

Patent fees are subject to annual revision.  
 Small Entity payments must be supported by a small entity statement,  
 otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
 See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 710

### Complete if Known

Application Number (Unassigned)  
 Filing Date (Herewith)  
 First Named Inventor PATRICK J. CRILLY ET AL.  
 Examiner Name (Unassigned)  
 Group / Art Unit (Unassigned)  
 Attorney Docket No. 00-430

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number 03-1129  
 Deposit Account Name  
☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 690 201 345			Utility filing fee	710
106 310 206 155			Design filing fee	
107 480 207 240			Plant filing fee	
108 690 208 345			Reissue filing fee	
114 150 214 75			Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>				<b>710</b>

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20	20** = 0	18	0
3	3** = 0	80	0
Multiple Dependent			

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9			Claims in excess of 20
102 78 202 39			Independent claims in excess of 3
104 260 204 130			Multiple dependent claim, if not paid
109 78 209 39			** Reissue independent claims over original patent
110 18 210 9			** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) (\$)</b>			

0

### FEE CALCULATION (continued)

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65			Surcharge - late filing fee or oath	
127 150 227 25			Surcharge - late provisional filing fee or cover sheet	
139 130 139 130			Non-English specification	
147 2,520 147 2,520			For filing a request for reexamination	
112 920** 112 920**			Requesting publication of SIR prior to Examiner action	
113 1,840** 113 1,840**			Requesting publication of SIR after Examiner action	
115 110 215 55			Extension for reply within first month	
116 380 216 190			Extension for reply within second month	
117 870 217 435			Extension for reply within third month	
118 1,360 218 680			Extension for reply within fourth month	
128 1,850 228 925			Extension for reply within fifth month	
119 300 219 150			Notice of Appeal	
120 300 220 150			Filing a brief in support of an appeal	
121 260 221 130			Request for oral hearing	
138 1,510 138 1,510			Petition to institute a public use proceeding	
140 110 240 55			Petition to revive - unavoidable	
141 1,210 241 605			Petition to revive - unintentional	
142 1,210 242 605			Utility issue fee (or reissue)	
143 430 243 215			Design issue fee	
144 580 244 290			Plant issue fee	
122 130 122 130			Petitions to the Commissioner	
123 50 123 50			Petitions related to provisional applications	
126 240 126 240			Submission of Information Disclosure Stmt	
581 40 581 40			Recording each patent assignment per property (times number of properties)	
146 690 246 345			Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690 249 345			For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify) _____				
Other fee (specify) _____				
<b>SUBTOTAL (3) (\$)</b>				<b>0</b>

\* Reduced by Basic Filing Fee Paid

### SUBMITTED BY

Name (Print/Type) Steve D. Lundquist

Signature

Registration No. 42,816

### Complete if applicable

Telephone (314) 849-4079

Date 12/04/2000

### WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.